

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Angell**

Serial No.: **Not Assigned**

Filed: Herewith

For: **Incremental Compliance  
Environment, an Enterprise-Wide  
System for Detecting Fraud**

§  
§ Group Art Unit: **Not Assigned**  
§  
§ Examiner: **Not Assigned**  
§  
§ Attorney Docket No.: **END920030132US1**  
§  
§  
§

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. 1.97.


Please charge any fees necessary for prosecution of the present application to Deposit Account No. 09-0457. If any extension of time is required, such extension is hereby requested. Please charge any additional required fee for extension of time to Deposit Account No. 09-0457.

In accordance with 37 C.F.R. 1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standards of materiality defined in 37 C.F.R. 1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. 1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

This Information Disclosure Statement is being filed under 37 C.F.R. § 1.97(b) within three months of the filing date of the application, or before the mailing date of a first office action on the merits. No fee is required.

Date: 01/28/04

Respectfully submitted,



John R. Pivnichny  
Registration No. 43,001  
IBM Corporation  
Intellectual Property Law  
Dept. IQ0A / Bldg. 040-3  
1701 North Street  
Endicott, NY 13760  
(607) 429-4358

<b>Form PTO-1449</b>  <b>LIST OF PRIOR ART CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>			ATTORNEY DOCKET NO. <b>END920030132US1</b>		SERIAL NO. <b>Not Assigned</b>	
			APPLICANT <b>Angell</b>			
			FILING DATE		GROUP ART UNIT <b>Not Assigned</b>	

U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/SUBCLASS	FILING DATE	
/J.V./	AA 5,884,289	Mar. 16, 1999	Anderson et al.	705/44	Jun. 14, 1996	
/J.V./	AB 6,330,546 B1	Dec. 11, 2001	Gopinathan et al.	705/35	Oct. 5, 1998	
/J.V./	AC 2002/0133721	Sep. 19, 2002	Adjaoute	713/201	Mar. 15, 2001	

FOREIGN PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	COUNTRY	CLASS/SUBCLASS	TRANSLATION YES NO	
/J.V./	AD WO 01/77960	Oct. 18, 2001	WIPO	G06F 17/60	X	
/J.V./	AE WO 97/00483	Jan. 3, 1997	WIPO	G06F 15/00	X	

OTHER PRIOR ART <i>(including author, title, date, pertinent page, etc.)</i>						

RELATED PATENT APPLICATIONS					
EXAMINER INITIAL	APPLICATION NO./ ATTY. DOCKET NO.	APPLICANT	TITLE	FILING DATE	

DATE CONSIDERED 12/19/2007	EXAMINER /James Vezeris/
----------------------------	--------------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.V./